

## FINANCIAL INTERESTS

I have read and understood regulation 3 below and confirm that for the purposes of this regulation, I have, and will have, no professional or financial interest in the delivery of building control activities and functions for any work under my supervision.

**Signed:**

**Full Name:**

**Date:**

### Regulation 3

3.—(1) Approvers must have no professional or financial interest in the work they supervise.

(2) A person (“P”) is regarded as having a professional or financial interest in the work described in any notice or certificate given under these Regulations if—

(a) P is or has been responsible for the design or construction of any of the work in any capacity,

(b) P or any nominee of P’s is a member, officer or employee of a company or other body which has a professional or financial interest in the work, or

(c) P is a partner or is in the employment of a person who has a professional or financial interest in the work.

(3) For the purposes of this regulation—

(a) P is treated as having a professional or financial interest in the work even if P has that interest only as trustee for the benefit of some other person,

(b) in the case of married persons or civil partners living together, the interest of one spouse or partner is, if known to the other, deemed to be also an interest of the other.

(4) For the purposes of this regulation the following are not to be regarded as a professional or financial interest—

(a) involvement in the work as an approver,

- (b)entitlement to any fee paid for P's function as an approver,
- (c)entitlement to any fee paid for an employee of P carrying out a function as a registered building inspector(1), and
- (d)potential liability to pay any sum if a claim is made under the insurance cover provided for the purposes of the 1984 Act.



Regulated by RICS



**Assent**

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## IMPARTIALITY

I have read and understood regulation 3 below and confirm that for the purposes of this regulation, I have complete impartiality on any projects I manage or for any potential conflict of interest occurring during the building control approval process.

**Signed:**

**Full Name:**

**Date:**

### **Regulation 3**

Impartiality or conflict of interest

2.1 The following guidance incorporates many of the principles of ISO/IEC 17065: 2012 which is used in the management of Competent Persons Schemes (CPS).

2.2 The Building Control Function should be carried out impartially and be perceived to be impartial.

2.3 The Registered Building Control Approver (RBCA) shall be responsible for the impartiality of its building control service and shall not allow commercial, financial or other matters to compromise impartiality.

2.4 The RBCA shall identify risks to its impartiality on an ongoing basis. This shall include those risks that arise from its activities, from its relationships, or from the relationships of its personnel. However, such relationships may not necessarily present a RBCA with a risk to impartiality. Note: A relationship presenting a risk to impartiality of the RBCA can be based on ownership, governance, management, personnel, shared resources, finance, contracts, marketing (including branding) and payment of a sales commission or other inducement for the referral of new clients. Etc.

2.5 A risk to impartiality is considered to occur principally where a design or construction function is being provided on the same project by the same organisation carrying out the Building Control function. A risk to Impartiality may also occur in other ways such as financial involvement, personal or family involvement etc.

2.6 If a risk to impartiality is identified, the RBCA shall be able to demonstrate how it eliminates or minimises such risk. This should comprise a written policy specifically aimed at meeting these requirements and in the case of Approved Inspectors specifically Regulation 3. This policy should be publicly available, for example on the RBCA website and regularly reviewed.



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